



PROFESSIONAL PROFILE

MAIN OFFICE

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Last Name				First Name				MI			Honorifics, Titles					
Company name (if applicable)																
SSN#				CRD#				Years in the financial services industry				Date of Birth				
List all securities and insurance registrations and licenses												States licensed in				
Professional Designations (CFP, CLU, etc.)																
Street Address								City					State		Zip	
Mailing Address								City					State		Zip	
Daytime Phone						Mobile Phone				Primary email				Secondary email		
Check those that apply:						Check those that apply and provide details below:										
Are you Insurance licensed?						Do you have any negative information or complaints on your U4?										
Are you an Investment Advisor Representative?						Have you filed for bankruptcy within the last 7 years?										
Are you an Investment Advisor Representative?						Have you been convicted of a felony?										
GROSS PRODUCTION FOR PAST 12 MONTHS:				MOST RECENT MONTH'S GROSS PRODUCTION:				ANTICIPATED PRODUCTION FOR THE NEXT 12 MONTHS:				AVERAGE NET WORTH OF CLIENTS:				
\$				\$				\$				\$				
IN GENERAL, WHAT IS THE PRODUCT MIX IN YOUR BOOK OF BUSINESS?																
Equities	%	Mutual Funds	%	Bonds	%	Municipal Bonds	%									
Life insurance	%	Annuities	%	Alternative Investments	%	Special Products	%									
VALUE OF YOUR ASSETS UNDER MANAGEMENT:				TOTAL NUMBER OF YOUR ACCOUNTS:				NUMBER OF YOUR ACTIVE ACCOUNTS:				AVERAGE NEW ACCOUNTS EACH YEAR:				
\$																
Are you engaged in any other outside businesses? If yes, please describe.																
What is your investment philosophy or theory?																

I hereby authorize DMK Advisor Group, Inc. to conduct a CRD search of my record and any additional pertinent background information that may be required as part of its pre-registration investigation.

Signed _____ Date _____

Securities and advisory services offered through DMK Advisor Group, Inc., member FINRA/SIPC/MSRB. Investment Advisory services also offered through Compass Financial Management, LLC, an SEC Registered Investment Advisory. compassfmlc.com.